Department of **Treasury and Finance**

Compliance Monitoring System User Guide

2014-15 Certification Period

State Government Victoria

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Introduction

The Compliance Monitoring System (CMS) website is used by entities and portfolio departments to facilitate the annual certification as required by the Financial Management Compliance Framework (FMCF). Once all the relevant details have been entered, the system will produce the annual certification letter and attachment. These need to be printed off and signed for forwarding to the entity's portfolio minister, with a copy sent to the portfolio department. A copy of the letter and attachment that is forwarded to the portfolio minister should be retained by the entity.

When does the FMCF certification process start and when is the CMS open?

The FMCF certification process normally begins on 1 July each year. However, this year, the CMS will be opened early to allow time for users to familiarise themselves with the system and if necessary, modify details in the system.

The CMS website will be available until 30 September 2015 for Victorian public sector entities to complete their annual certification letter and submit it to their portfolio minister. Portfolio departments will then have until 31 October 2015 to complete their portfolio summary reports. Some portfolio departments may require their entities to complete their compliance certification earlier.

What are the first steps?

Prior to certifying compliance on the CMS website, it is highly recommended that each entity use the FMCF Certification Checklist to assess its compliance status against each of the Direction Requirements. This will minimise the time spent entering data in the Compliance Monitoring System website. The FMCF Certification Checklist can be found at DTF's FMCF website: http://www.dtf.vic.gov.au/Publications/Government-Financial-Management-publications/Financial-Management-Compliance-Framework/Certification-checklist.

What is in this guide?

This guide assists with the CMS website in the preparation of the annual compliance certification letter. If you encounter issues that are not specifically addressed by this guide, please contact your portfolio coordinator (please see Appendix 1 for full listing).

Where to go for further information?

Further information on the Financial Management Compliance Framework can be found on DTF's FMCF website: www.dtf.vic.gov.au/financialcompliance.

Accessing the Compliance Monitoring System website

The CMS website can be accessed at the following address: https://www.cms.dtf.vic.gov.au/.

The first page of the CMS website is pictured below.

Compliance Monitoring Syste
https://www.cms.dtf.vic.gov.au
State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
RETURN TO DTF WEBSITE
HELP
Welcome to the Compliance Monitoring System
The aim of the Compliance Monitoring System (CMS) is to facilitate and automate the annual certification of compliance against the requirements of the Financial Management Compliance Framework (the Framework). The Framework incorporates financial management, taxation, purchasing card, and thefts and loss requirements, as well as reporting requirements.
The Financial Management Compliance Framework assists Victorian public service departments and pubic bodies (VPS agencies) with meeting their requirements under the Standing Directions of the Minister for Finance.
The CMS is also used used by VPS agencies to prepare their annual certification letter to their portfolio minister.
VPS agencies are also able to update their contact details using the site.
Further information on the Financial Management Compliance Framework can be found on the Department of Treasury and Finance website via the following link: Financial Management Compliance Framework.
Have a lovely day!
If you already have a username and password, login here.
Username:
Password:
LOGIN
Otherwise, select Register for access to arrange for a username and password.
REGISTER FOR ACCESS
If you are having any trouble with your log on, contact Technical Support.

Enter in the username and password

Users are required to have a username and password to access the CMS website. If you are unsure what your username or password is, please contact your portfolio coordinator. Please see Appendix 1 for full listing of portfolio coordinators.

To access the website, type your username and password into the relevant fields and click on the **Login** button. If your username and password are correct, the Check Entity Details page will appear. Appendix 3 provides further instructions on managing your username and password.

State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
RETURN TO DTF WEBSITE
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Have a lovely day!
If you already have a username and password, login here.
Username: [username]
Password: ••••••••
LOGIN
Otherwise, select Register for access to arrange for a username and password.
REGISTER FOR ACCESS
If you are having any trouble with your log on, contact Technical Support.

Did someone other than yourself complete your entity's annual certification for the previous compliance year?

If this is your first time to complete an annual certification, it is likely that the person who completed last year's annual certification was provided with a username and password. If you have access to the username and password, enter these details into the relevant fields and click on the **Login** button to access the website. Otherwise, contact your portfolio coordinator. Refer to Appendix 1 for full listing of portfolio coordinators.

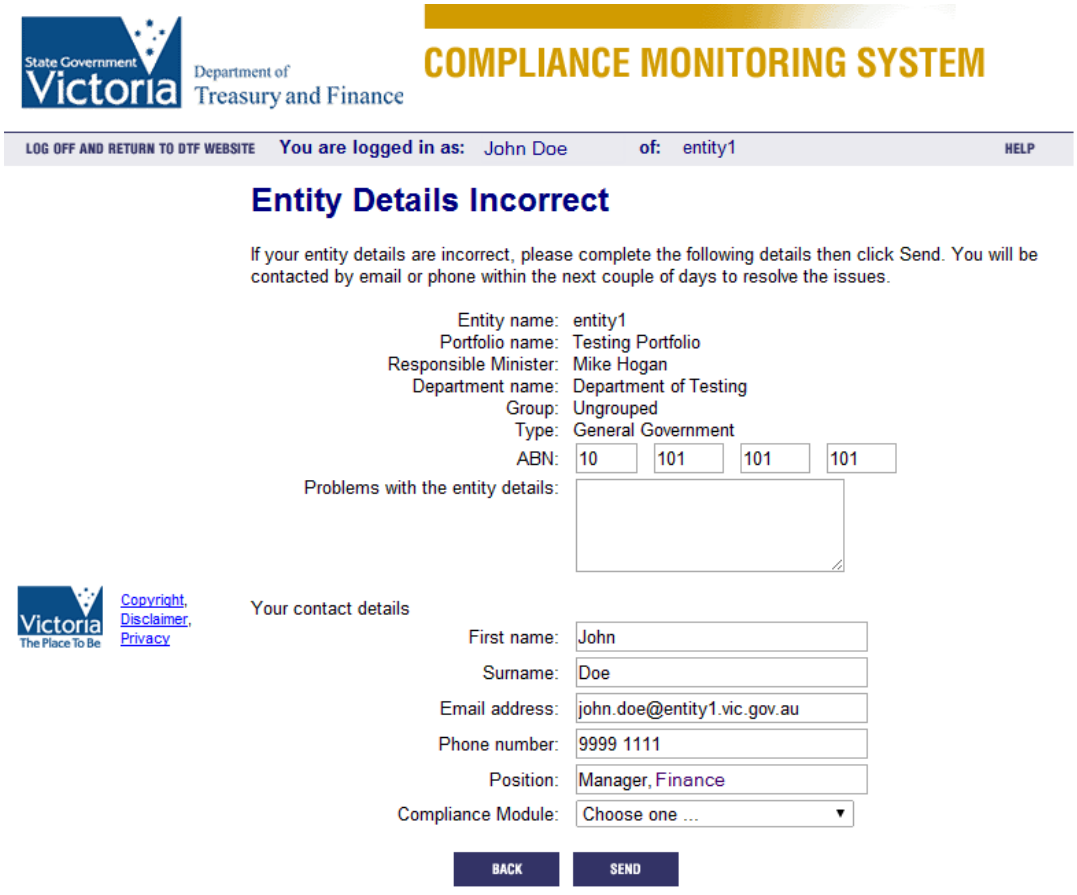
Is your entity a new entity that has come into operation within the last 12 months?

If your entity is a new entity, please contact your portfolio coordinator. Refer to Appendix 1 for a full listing of portfolio coordinators.

Confirming the entity details

Once you have logged into the CMS website, the following page will appear. Check the details on this page and if all the details are correct, click on the **Correct** button. This will move you to the Select Compliance Module page. If the details are incorrect, click on the **Incorrect** button. This will move you to the Entity Details Incorrect page.

On the Entity Details Incorrect page, complete the required details and click **Send** to generate an email to the Administrator. The Administrator will contact you by email or phone once the changes are completed.


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Entity Details Incorrect
If your entity details are incorrect, please complete the following details then click Send. You will be contacted by email or phone within the next couple of days to resolve the issues.
Entity name: entity1
Portfolio name: Testing Portfolio
Responsible Minister: Mike Hogan
Department name: Department of Testing
Group: Ungrouped
Type: General Government
ABN: 10 101 101 101
Problems with the entity details:
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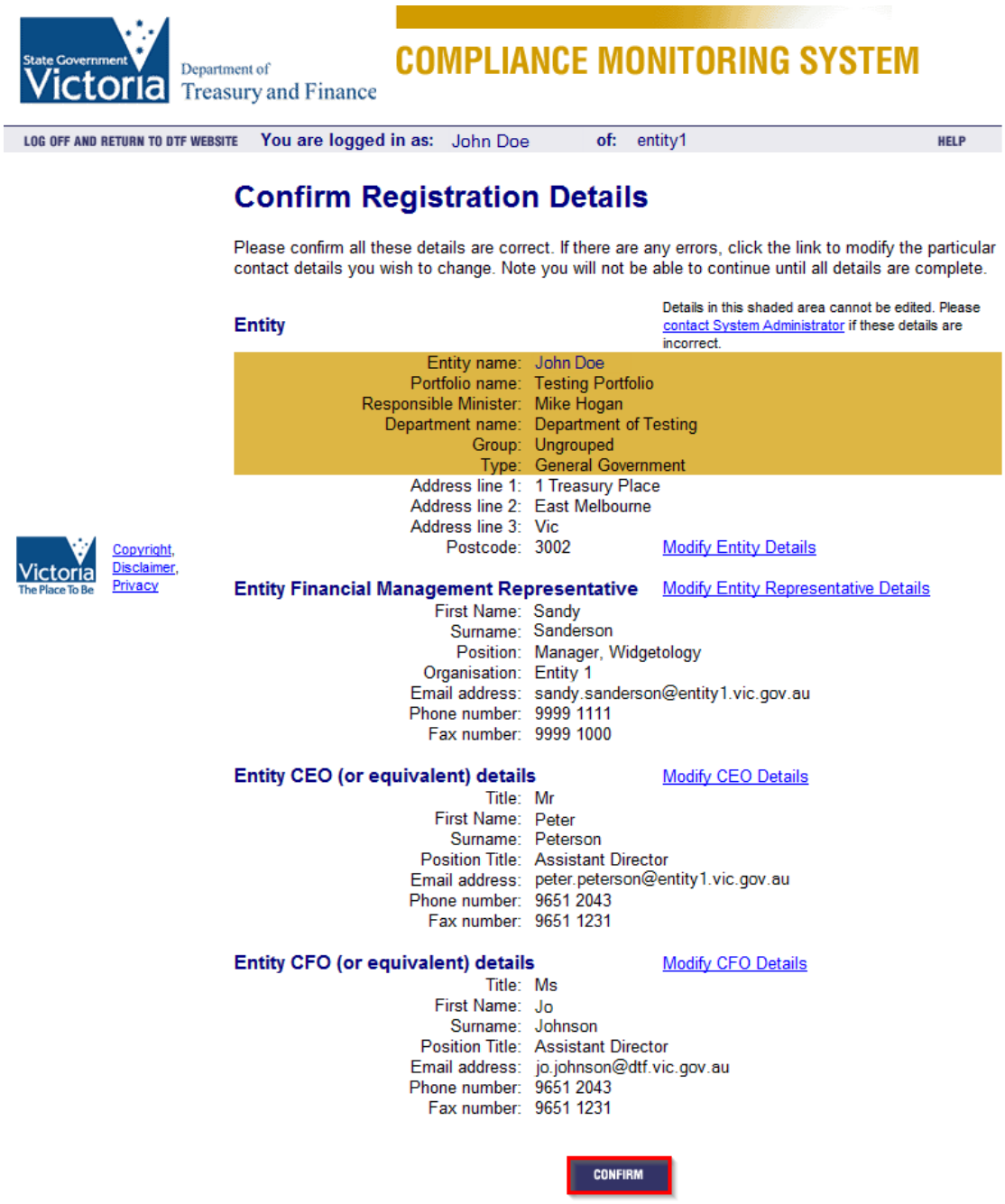
Your contact details
First name: John
Surname: Doe
Email address: john.doe@entity1.vic.gov.au
Phone number: 9999 1111
Position: Manager, Finance
Compliance Module: Choose one ...
BACK
SEND

Confirming or amending the registration details

You will need check and complete the following details:

- Mailing address;
- Financial Management Representative;
- Chief Executive Officer; and
- Chief Finance and Accounting Officer.

To progress to the next page, ensure that all the details have been completed, and then click **Confirm**.


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Confirm Registration Details
Please confirm all these details are correct. If there are any errors, click the link to modify the particular contact details you wish to change. Note you will not be able to continue until all details are complete.
Entity
Details in this shaded area cannot be edited. Please contact System Administrator if these details are incorrect.
Entity name: John Doe
Portfolio name: Testing Portfolio
Responsible Minister: Mike Hogan
Department name: Department of Testing
Group: Ungrouped
Type: General Government
Address line 1: 1 Treasury Place
Address line 2: East Melbourne
Address line 3: Vic
Postcode: 3002
Modify Entity Details
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Entity Financial Management Representative
Modify Entity Representative Details
First Name: Sandy
Surname: Sanderson
Position: Manager, Widgetology
Organisation: Entity 1
Email address: sandy.sanderson@entity1.vic.gov.au
Phone number: 9999 1111
Fax number: 9999 1000
Entity CEO (or equivalent) details
Modify CEO Details
Title: Mr
First Name: Peter
Surname: Peterson
Position Title: Assistant Director
Email address: peter.peterson@entity1.vic.gov.au
Phone number: 9651 2043
Fax number: 9651 1231
Entity CFO (or equivalent) details
Modify CFO Details
Title: Ms
First Name: Jo
Surname: Johnson
Position Title: Assistant Director
Email address: jo.johnson@dtf.vic.gov.au
Phone number: 9651 2043
Fax number: 9651 1231
CONFIRM

Select Compliance Module

On the Select Compliance Module page, select from the drop down list **Financial Management Compliance module**. Once selected, the next page should automatically appear.

State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Select Compliance Module
Select the Compliance module you would like to use. Only modules available for data entry are shown here.
Financial Management Compliance module
Compliance module...
Financial Management Compliance module

Welcome to Financial Management Module

The following page provides some general information on the Financial Management Compliance Framework. Once you have read through the information contained on this page, click **Next** to progress to the next page.

State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
Financial Management Module
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Home
Registration
Contact Details
Compliance Certification
Instructions
Compliance with Direction Requirements
Compliance Status
Compliance Data
Compliance Statement
Declaration letter
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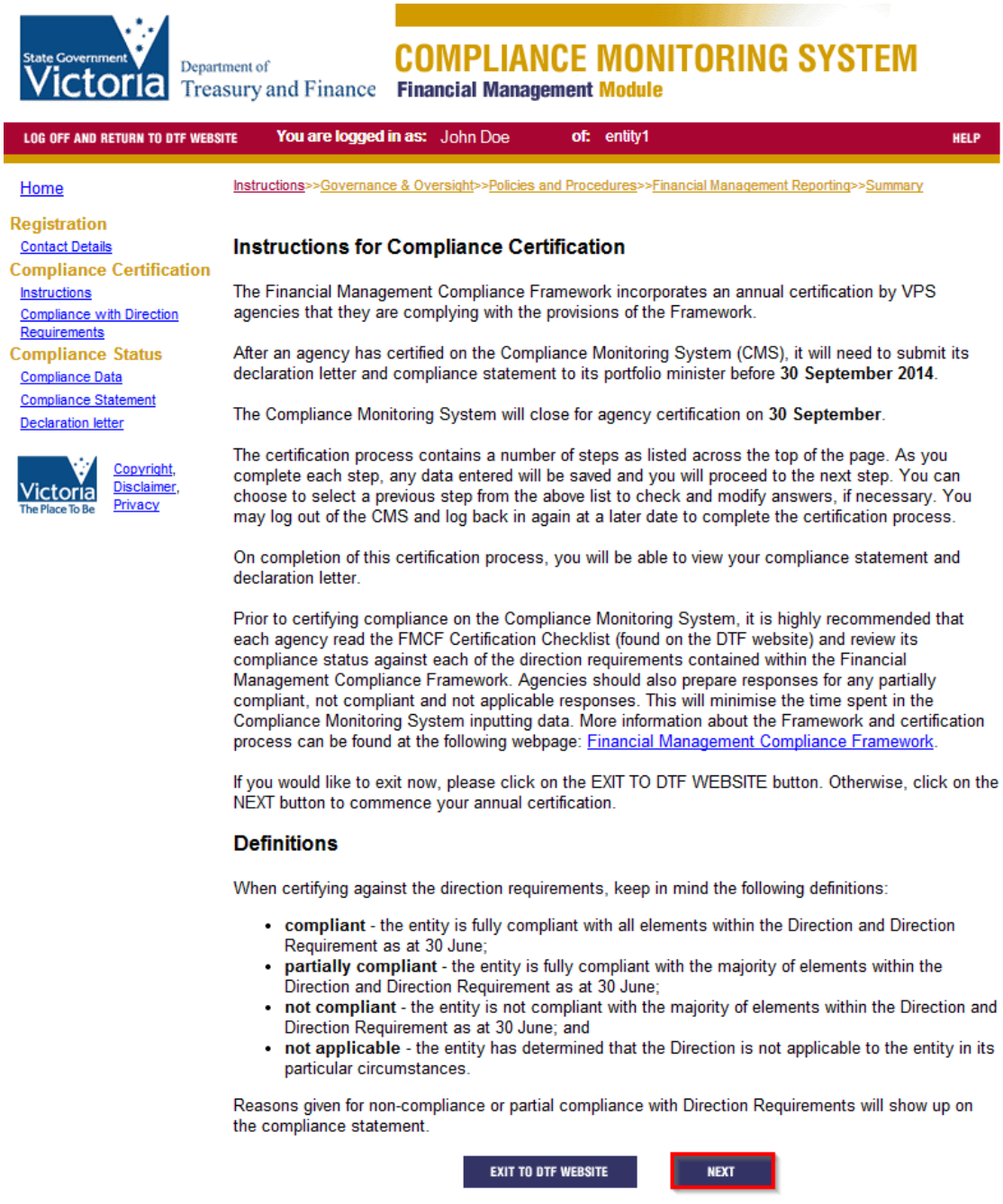
Welcome to the Financial Management Module
The Financial Management Compliance Framework (the Framework) is a tool that allows for monitoring and reporting on the financial management obligations of departments and agencies in the Victorian public sector (VPS). The Framework came into effect on 1 July 2003.
Under the Framework, agencies are required to certify their compliance against 34 Direction Requirements that are based on key elements of the Standing Directions of the Minister for Finance. Although certification is completed against the 34 Direction Requirements, agencies are still required to comply with all Directions contained within the Standing Directions of the Minister for Finance.
When an agency certifies on the CMS, the system will produce a declaration letter and compliance statement that can subsequently be submitted to the agency's portfolio minister (with a copy sent to portfolio coordinators). The declaration letter and compliance statement is to be sent to portfolio ministers by 30 September 2014.
Portfolio coordinators are then responsible for sending portfolio summary certification reports from the department to the Minister for Finance (with a copy to be sent to the Department of Treasury and Finance). These portfolio summary certification reports are to be sent to the Minister for Finance by 31 October 2014.
Departments may choose to send copies of portfolio summary certification reports to relevant portfolio ministers.
EXIT TO DTF WEBSITE
NEXT
Select another Compliance Module
Select the Compliance module you would like to use. Only modules available for data entry are shown here.
Financial Management Compliance module

Instructions for Compliance Certification

This page provides some information on completing your certification on the Compliance Monitoring System website. Once you have read through the information contained on this page, click **Next** to progress to the compliance certification component of the website.


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
Financial Management Module
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Home
Registration
Contact Details
Compliance Certification
Instructions
Compliance with Direction Requirements
Compliance Status
Compliance Data
Compliance Statement
Declaration letter
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Instructions>>Governance & Oversight>>Policies and Procedures>>Financial Management Reporting>>Summary
Instructions for Compliance Certification
The Financial Management Compliance Framework incorporates an annual certification by VPS agencies that they are complying with the provisions of the Framework.
After an agency has certified on the Compliance Monitoring System (CMS), it will need to submit its declaration letter and compliance statement to its portfolio minister before 30 September 2014.
The Compliance Monitoring System will close for agency certification on 30 September.
The certification process contains a number of steps as listed across the top of the page. As you complete each step, any data entered will be saved and you will proceed to the next step. You can choose to select a previous step from the above list to check and modify answers, if necessary. You may log out of the CMS and log back in again at a later date to complete the certification process.
On completion of this certification process, you will be able to view your compliance statement and declaration letter.
Prior to certifying compliance on the Compliance Monitoring System, it is highly recommended that each agency read the FMCF Certification Checklist (found on the DTF website) and review its compliance status against each of the direction requirements contained within the Financial Management Compliance Framework. Agencies should also prepare responses for any partially compliant, not compliant and not applicable responses. This will minimise the time spent in the Compliance Monitoring System inputting data. More information about the Framework and certification process can be found at the following webpage: Financial Management Compliance Framework.
If you would like to exit now, please click on the EXIT TO DTF WEBSITE button. Otherwise, click on the NEXT button to commence your annual certification.
Definitions
When certifying against the direction requirements, keep in mind the following definitions:
compliant - the entity is fully compliant with all elements within the Direction and Direction Requirement as at 30 June;
partially compliant - the entity is fully compliant with the majority of elements within the Direction and Direction Requirement as at 30 June;
not compliant - the entity is not compliant with the majority of elements within the Direction and Direction Requirement as at 30 June; and
not applicable - the entity has determined that the Direction is not applicable to the entity in its particular circumstances.
Reasons given for non-compliance or partial compliance with Direction Requirements will show up on the compliance statement.
EXIT TO DTF WEBSITE
NEXT

Completing your compliance certification

The compliance certification component of the Compliance Monitoring System website consists of three data entry pages. These three pages contain the 33 Direction Requirements found in the Financial Management Compliance Framework.

Against each Direction Requirement, a compliance response must be selected (*compliant, partially compliant, not compliant* and *not applicable*).

If a *partially compliant*, *not compliant* or *not applicable* response is selected, full reasons for the response must be provided.

Any *partially compliant* or *not compliant* responses will appear in the compliance summary to be attached to the declaration letter to the Portfolio Minister.

In completing the 33 Direction Requirements, the following definitions of each of the compliance responses should be used to assess the level of compliance achieved:

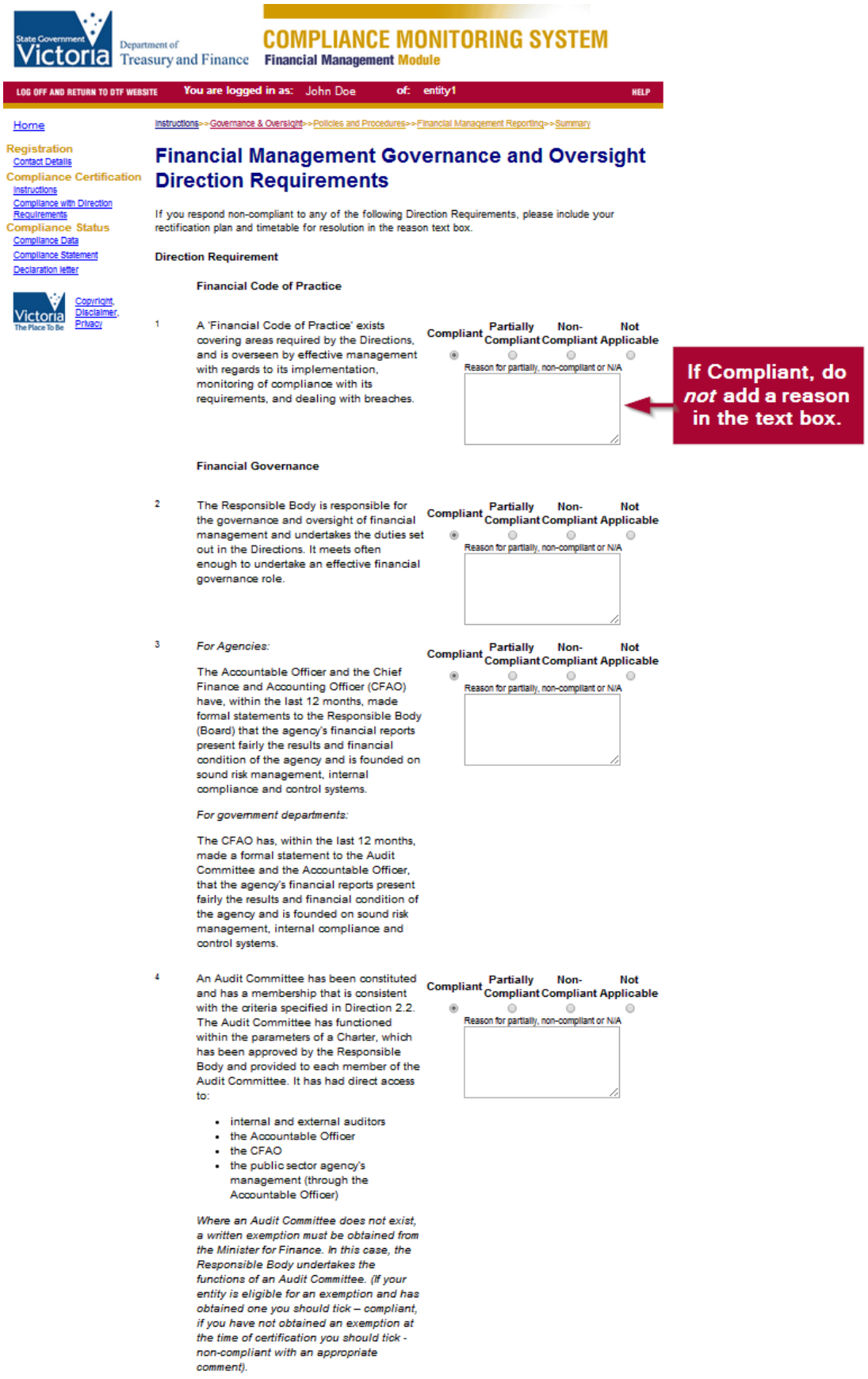
- *Compliant*: the entity is fully compliant with all elements within the Direction and Direction Requirement as at 30 June;
- *Partially compliant*: the entity is fully compliant with the majority of elements within the Direction and Direction Requirement as at 30 June;
- *Not compliant*: the entity is not compliant with the majority of elements within the Direction and Direction Requirement as at 30 June; and
- *Not applicable*: the entity has determined that the Direction is not applicable to the entity in its particular circumstances.

The next three pages outline the contents of the three data entry pages. Once the relevant data has been entered into each page, click **Next** to move onto the next page.

If you are unable to move forward by selecting the **Next** button in any of the three data entry pages, please ensure that you have:

1. selected a compliance response for each Direction Requirement appearing on the page; and
2. entered in a response for any *partially compliant, not compliant* or *not applicable* Direction Requirements.

Page 1 – Financial Management Governance and Oversight


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
Financial Management Module
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Home
Registration
Contact Details
Compliance Certification
Instructions
Compliance with Direction Requirements
Compliance Status
Compliance Data
Compliance Statement
Declaration letter
Victoria The Place To Be
Copyright, Disclaimer, Privacy
Instructions>>Governance & Oversight>>Policies and Procedures>>Financial Management Reporting>>Summary
Financial Management Governance and Oversight Direction Requirements
If you respond non-compliant to any of the following Direction Requirements, please include your rectification plan and timetable for resolution in the reason text box.
Direction Requirement
Financial Code of Practice
1
A 'Financial Code of Practice' exists covering areas required by the Directions, and is overseen by effective management with regards to its implementation, monitoring of compliance with its requirements, and dealing with breaches.
Compliant
Partially Compliant
Non-Compliant
Not Applicable
Reason for partially, non-compliant or N/A
If Compliant, do not add a reason in the text box.
Financial Governance
2
The Responsible Body is responsible for the governance and oversight of financial management and undertakes the duties set out in the Directions. It meets often enough to undertake an effective financial governance role.
Compliant
Partially Compliant
Non-Compliant
Not Applicable
Reason for partially, non-compliant or N/A
3
For Agencies:
The Accountable Officer and the Chief Finance and Accounting Officer (CFAO) have, within the last 12 months, made formal statements to the Responsible Body (Board) that the agency's financial reports present fairly the results and financial condition of the agency and is founded on sound risk management, internal compliance and control systems.
For government departments:
The CFAO has, within the last 12 months, made a formal statement to the Audit Committee and the Accountable Officer, that the agency's financial reports present fairly the results and financial condition of the agency and is founded on sound risk management, internal compliance and control systems.
Compliant
Partially Compliant
Non-Compliant
Not Applicable
Reason for partially, non-compliant or N/A
4
An Audit Committee has been constituted and has a membership that is consistent with the criteria specified in Direction 2.2. The Audit Committee has functioned within the parameters of a Charter, which has been approved by the Responsible Body and provided to each member of the Audit Committee. It has had direct access to:
internal and external auditors
the Accountable Officer
the CFAO
the public sector agency's management (through the Accountable Officer)
Where an Audit Committee does not exist, a written exemption must be obtained from the Minister for Finance. In this case, the Responsible Body undertakes the functions of an Audit Committee. (If your entity is eligible for an exemption and has obtained one you should tick – compliant, if you have not obtained an exemption at the time of certification you should tick - non-compliant with an appropriate comment).
Compliant
Partially Compliant
Non-Compliant
Not Applicable
Reason for partially, non-compliant or N/A

Page 1 – Financial Management Governance and Oversight *(continued)*

Financial Risk Management

5 The public sector agency has a financial risk management policy and internal control system in place which addresses the risks associated with the financial management of the public sector agency. The financial risk profile has been critically reviewed by the Responsible Body within the last 12 months.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Authorisations

6 Each public sector agency must establish and maintain authorisations covering the overall financial management of the public sector agency, and must establish and maintain authorisations covering the creation of financial obligations (including contingent liabilities and obligations) on behalf of the public sector agency.

These authorisations must ensure that financial management and the creation of financial obligations are undertaken by staff with appropriate levels of authority and understanding of business operations. Authorisations must be to positions rather than specific individuals, and must be to employees of the public sector agency.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Internal Audit

7 An internal audit function exists and works within the parameters of a Charter and an internal audit plan, both of which have been approved by the Audit Committee, or Responsible Body in the absence of an Audit Committee, and are consistent with the requirements of the Directions. A private meeting with the internal auditors has been held at least once in the last 12 months.

Where an Internal Audit function does not exist, a written exemption must be obtained from the Minister for Finance. (If your entity is eligible for an exemption and has obtained one you should tick – compliant, if you have not obtained an exemption at the time of certification you should tick - non-compliant with an appropriate comment)

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

External Audit

8 The Audit Committee, or Responsible Body in the absence of an Audit Committee, has taken the actions required by Direction 2.6 in respect of external audit for the financial year (or part thereof) just ended, including inviting the external auditor to all relevant meetings and making time available to meet privately to discuss audit related issues at least once within the last 12 months.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

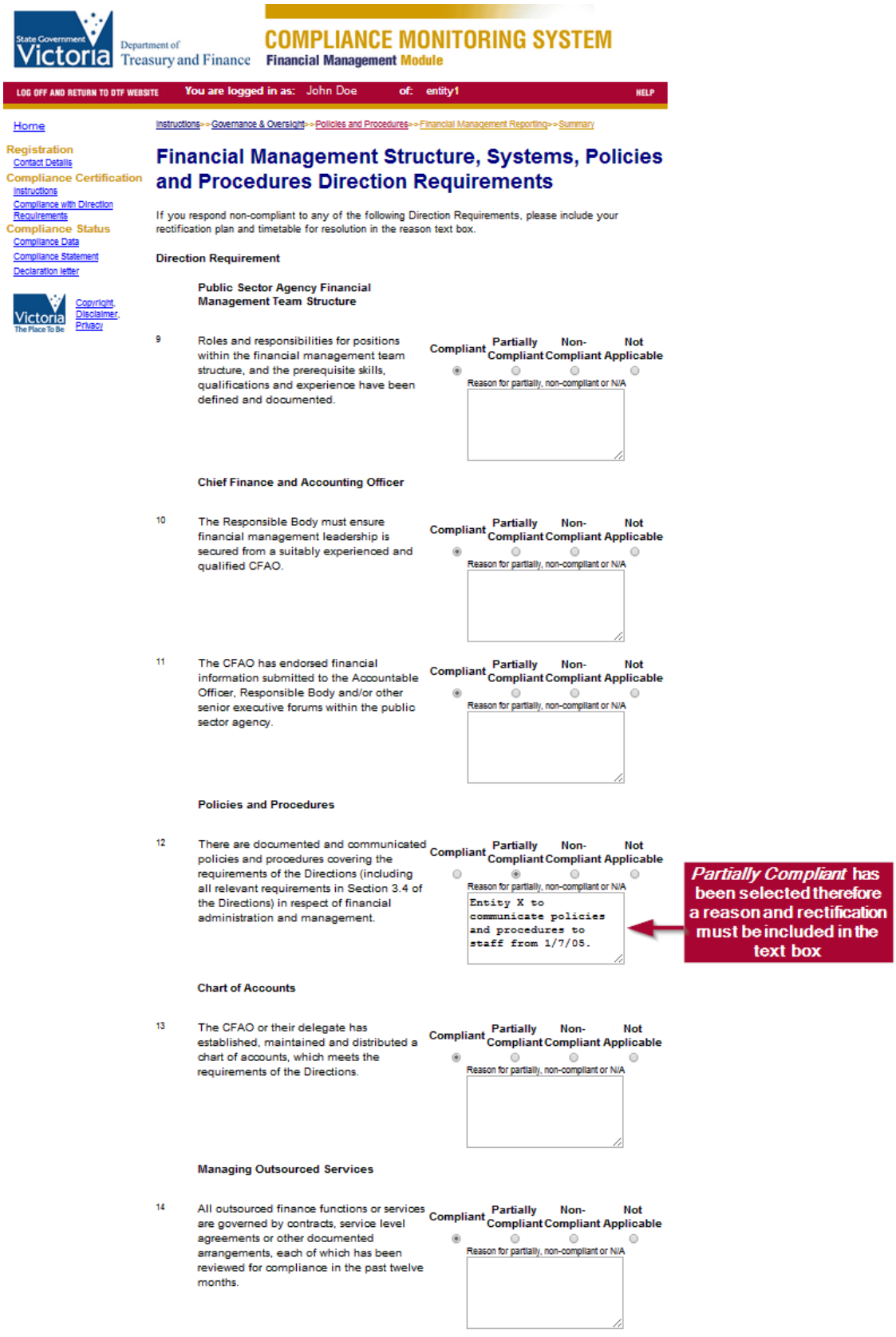
The Entity X Audit Committee has not had access to our external auditors. To be rectified I/T

Non-Compliant **has been selected, therefore a reason and rectification must be included in the text box**

BACK NEXT

Once complete, click on the *Next* button

Page 2 – Financial Management Structure, Systems, Policies and Procedures



State Government Victoria — Department of Treasury and Finance

COMPLIANCE MONITORING SYSTEM
Financial Management Module

LOG OFF AND RETURN TO DTF WEBSITE | You are logged in as: John Doe | of: entity1 | HELP

Home

Registration
Contact Details

Compliance Certification
Instructions
Compliance with Direction Requirements

Compliance Status
Compliance Data
Compliance Statement
Declaration letter

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Instructions>>Governance & Oversight>>Policies and Procedures>>Financial Management Reporting>>Summary

Financial Management Structure, Systems, Policies and Procedures Direction Requirements

If you respond non-compliant to any of the following Direction Requirements, please include your rectification plan and timetable for resolution in the reason text box.

Direction Requirement

Public Sector Agency Financial Management Team Structure

9 Roles and responsibilities for positions within the financial management team structure, and the prerequisite skills, qualifications and experience have been defined and documented.
Compliant (●) Partially Compliant ( ) Non-Compliant ( ) Not Applicable ( )
Reason for partially, non-compliant or N/A

Chief Finance and Accounting Officer

10 The Responsible Body must ensure financial management leadership is secured from a suitably experienced and qualified CFAO.
Compliant (●) Partially Compliant ( ) Non-Compliant ( ) Not Applicable ( )
Reason for partially, non-compliant or N/A

11 The CFAO has endorsed financial information submitted to the Accountable Officer, Responsible Body and/or other senior executive forums within the public sector agency.
Compliant (●) Partially Compliant ( ) Non-Compliant ( ) Not Applicable ( )
Reason for partially, non-compliant or N/A

Policies and Procedures

12 There are documented and communicated policies and procedures covering the requirements of the Directions (including all relevant requirements in Section 3.4 of the Directions) in respect of financial administration and management.
Compliant ( ) Partially Compliant (●) Non-Compliant ( ) Not Applicable ( )
Reason for partially, non-compliant or N/A
Entity X to communicate policies and procedures to staff from 1/7/05.

Partially Compliant has been selected therefore a reason and rectification must be included in the text box

Chart of Accounts

13 The CFAO or their delegate has established, maintained and distributed a chart of accounts, which meets the requirements of the Directions.
Compliant (●) Partially Compliant ( ) Non-Compliant ( ) Not Applicable ( )
Reason for partially, non-compliant or N/A

Managing Outsourced Services

14 All outsourced finance functions or services are governed by contracts, service level agreements or other documented arrangements, each of which has been reviewed for compliance in the past twelve months.
Compliant (●) Partially Compliant ( ) Non-Compliant ( ) Not Applicable ( )
Reason for partially, non-compliant or N/A

Page 2 – Financial Management Structure, Systems, Policies and Procedures *(continued)*

		Compliant	Partially Compliant	Non-Compliant	Not Applicable
15	All finance functions or services outsourced during the financial year (period) just ended were subjected to a cost-benefit analysis, approved by the Responsible Body, and detailed in the form of a contract, service level agreement or equivalent and was subject to internal and external audit scrutiny.	◉	○	○	○

Reason for partially, non-compliant or N/A

Information Technology Management

		Compliant	Partially Compliant	Non-Compliant	Not Applicable
16	The Responsible Body has reviewed the use of Information Technology used for financial management within the last 12 months to assess information technology risks and their impact on financial management.	◉	○	○	○

Reason for partially, non-compliant or N/A

		Compliant	Partially Compliant	Non-Compliant	Not Applicable
17	There are documented and tested back up, disaster recovery and business continuity procedures in place that are commensurate with the public sector agency's financial management needs.	◉	○	○	○

Reason for partially, non-compliant or N/A

		Compliant	Partially Compliant	Non-Compliant	Not Applicable
18	A formal assessment has been undertaken within the last 12 months of whether financial management information that is sensitive to the public sector agency and stakeholders is adequately controlled and secured.	◉	○	○	○

Reason for partially, non-compliant or N/A

Development

		Compliant	Partially Compliant	Non-Compliant	Not Applicable
19	A business case was prepared and approved in accordance with the Directions for the development of any proposed financial management system developments during the year.	◉	○	○	○

Reason for partially, non-compliant or N/A

Change Control

		Compliant	Partially Compliant	Non-Compliant	Not Applicable
20	A change control process was followed for changes made to financial management systems.	◉	○	○	○

Reason for partially, non-compliant or N/A

Education and Training

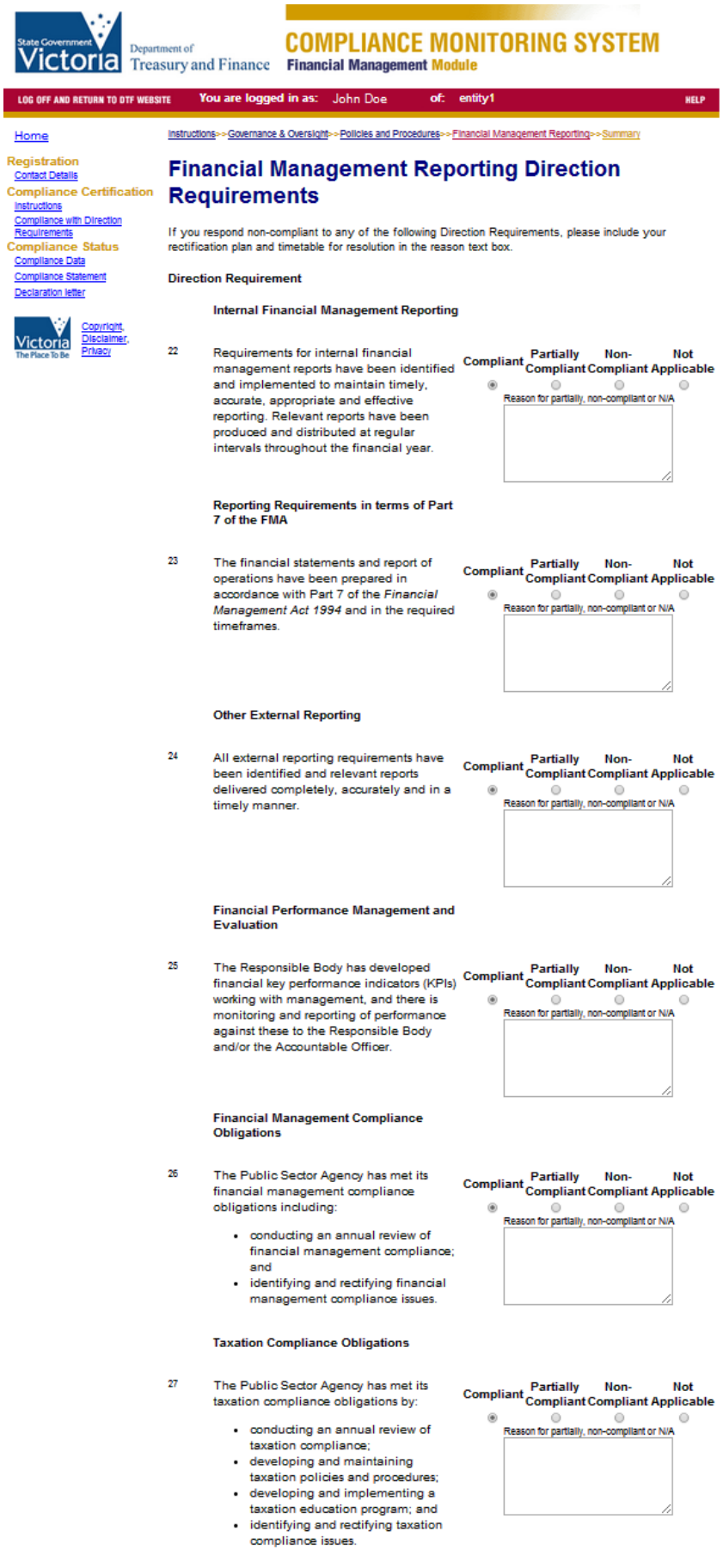
		Compliant	Partially Compliant	Non-Compliant	Not Applicable
21	The training and education needs for the financial management team have been reviewed by the CFAO or their delegated authority within the last 12 months, and an appropriate program developed to address the training and education needs of financial management staff.	◉	○	○	○

Reason for partially, non-compliant or N/A

BACK NEXT

Once complete, click on the *Next* button

Page 3 – Financial Management Reporting Requirements



State Government Victoria — Department of Treasury and Finance

COMPLIANCE MONITORING SYSTEM
Financial Management Module

LOG OFF AND RETURN TO DTF WEBSITE | You are logged in as: John Doe | of: entity1 | HELP

Home

Registration
Contact Details

Compliance Certification
Instructions
Compliance with Direction Requirements

Compliance Status
Compliance Data
Compliance Statement
Declaration letter

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Instructions>>Governance & Oversight>>Policies and Procedures>>Financial Management Reporting>>Summary

Financial Management Reporting Direction Requirements

If you respond non-compliant to any of the following Direction Requirements, please include your rectification plan and timetable for resolution in the reason text box.

Direction Requirement

Internal Financial Management Reporting

22 Requirements for internal financial management reports have been identified and implemented to maintain timely, accurate, appropriate and effective reporting. Relevant reports have been produced and distributed at regular intervals throughout the financial year.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Reporting Requirements in terms of Part 7 of the FMA

23 The financial statements and report of operations have been prepared in accordance with Part 7 of the *Financial Management Act 1994* and in the required timeframes.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Other External Reporting

24 All external reporting requirements have been identified and relevant reports delivered completely, accurately and in a timely manner.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Financial Performance Management and Evaluation

25 The Responsible Body has developed financial key performance indicators (KPIs) working with management, and there is monitoring and reporting of performance against these to the Responsible Body and/or the Accountable Officer.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Financial Management Compliance Obligations

26 The Public Sector Agency has met its financial management compliance obligations including:

- conducting an annual review of financial management compliance; and
- identifying and rectifying financial management compliance issues.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Taxation Compliance Obligations

27 The Public Sector Agency has met its taxation compliance obligations by:

- conducting an annual review of taxation compliance;
- developing and maintaining taxation policies and procedures;
- developing and implementing a taxation education program; and
- identifying and rectifying taxation compliance issues.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Page 3 – Financial Management Reporting Requirements *(continued)*

Purchasing Card Compliance Obligations

28 The public sector agency has:

- established its own facility account;
- ensured only one Card issued to each cardholder;
- ensured Cards are used for official business and Government purposes;
- obtained supporting documentation and ensured that expenditure is approved by an appropriate financial delegate;
- ensured cardholders hold a financial delegation;
- ensured that all individual Card limits do not exceed $25,000;
- ensured adequate monitoring and security procedures are in place;
- included in the internal audit program a review of the Card scheme and the use of cards issued; and
- notified the Minister for Finance of any instances of unauthorised use either annually or as appropriate.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Entity X does not operate a purchasing card.

Not Applicable **has been selected therefore a reason must be included in the text box**

Thefts and Losses Compliance Obligations

29 The public sector agency has notified the Minister for Finance and the Auditor-General of any instances of thefts and losses and provided an incident report as required by the Directions.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Risk Management Compliance

30 The public sector agency has:

- adopted risk management governance, systems and reporting requirements as contained within the Victorian Government Risk Management Framework;
- conducted an annual review of their obligations in complying with Direction 4.5.5, and rectified any failures or deficiencies indentified; and
- provided an attestation that its risk identification and management plan is consistent with AS/NZS ISO 31000:2009 or equivalent.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

Insurance

31 An accountable officer of a public sector agency required to insure with the Victorian Managed Insurance Authority (VMIA) under the *Victorian Managed Insurance Authority Act 1996* must verify that the public sector agency is insured appropriately, having regard to relevant government guidelines and Direction 4.5.5.1.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

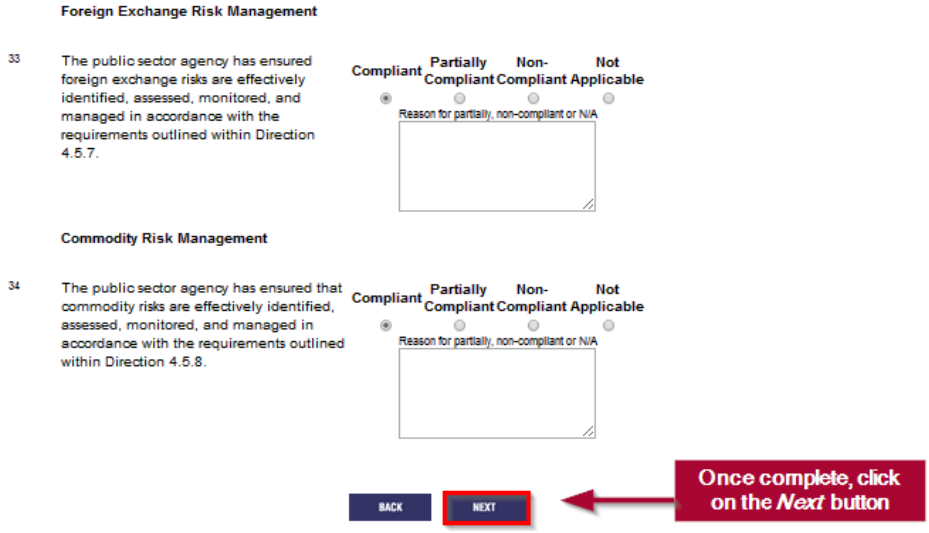
Treasury Risk Management

32 All borrowings, investments and financial arrangements undertaken by the public sector agency conform to the requirements or exceptions outlined within Direction 4.5.6.

Compliant | Partially Compliant | Non-Compliant | Not Applicable

Reason for partially, non-compliant or N/A

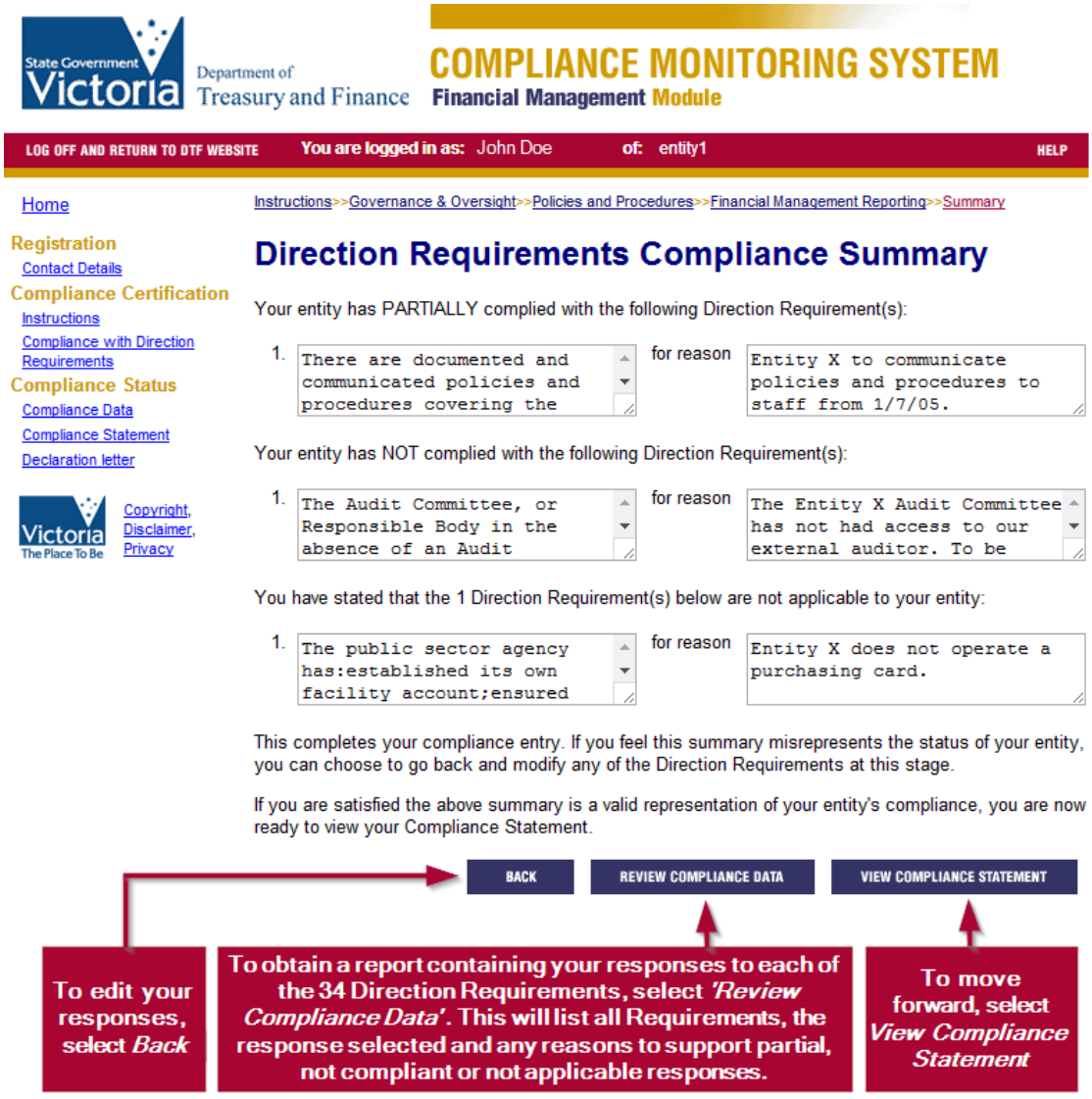
Page 3 – Financial Management Reporting Requirements *(continued)*


Foreign Exchange Risk Management
33
The public sector agency has ensured foreign exchange risks are effectively identified, assessed, monitored, and managed in accordance with the requirements outlined within Direction 4.5.7.
Compliant
Partially Compliant
Non-Compliant
Not Applicable
Reason for partially, non-compliant or N/A
Commodity Risk Management
34
The public sector agency has ensured that commodity risks are effectively identified, assessed, monitored, and managed in accordance with the requirements outlined within Direction 4.5.8.
Compliant
Partially Compliant
Non-Compliant
Not Applicable
Reason for partially, non-compliant or N/A
BACK
NEXT
Once complete, click on the Next button

Direction Requirements Compliance Summary

Once a response has been selected for each of the 33 Direction Requirements, the following exceptions report will appear containing any *partially compliant, not compliant* or *not applicable* responses.

To move forward to the next page, click **View Compliance Statement**.


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
Financial Management Module
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Home
Registration
Contact Details
Compliance Certification
Instructions
Compliance with Direction Requirements
Compliance Status
Compliance Data
Compliance Statement
Declaration letter
Victoria The Place To Be
Copyright, Disclaimer, Privacy
Instructions>>Governance & Oversight>>Policies and Procedures>>Financial Management Reporting>>Summary
Direction Requirements Compliance Summary
Your entity has PARTIALLY complied with the following Direction Requirement(s):
1. There are documented and communicated policies and procedures covering the
for reason
Entity X to communicate policies and procedures to staff from 1/7/05.
Your entity has NOT complied with the following Direction Requirement(s):
1. The Audit Committee, or Responsible Body in the absence of an Audit
for reason
The Entity X Audit Committee has not had access to our external auditor. To be
You have stated that the 1 Direction Requirement(s) below are not applicable to your entity:
1. The public sector agency has:established its own facility account;ensured
for reason
Entity X does not operate a purchasing card.
This completes your compliance entry. If you feel this summary misrepresents the status of your entity, you can choose to go back and modify any of the Direction Requirements at this stage.
If you are satisfied the above summary is a valid representation of your entity's compliance, you are now ready to view your Compliance Statement.
BACK
REVIEW COMPLIANCE DATA
VIEW COMPLIANCE STATEMENT
To edit your responses, select Back
To obtain a report containing your responses to each of the 34 Direction Requirements, select 'Review Compliance Data'. This will list all Requirements, the response selected and any reasons to support partial, not compliant or not applicable responses.
To move forward, select View Compliance Statement

Compliance Statement

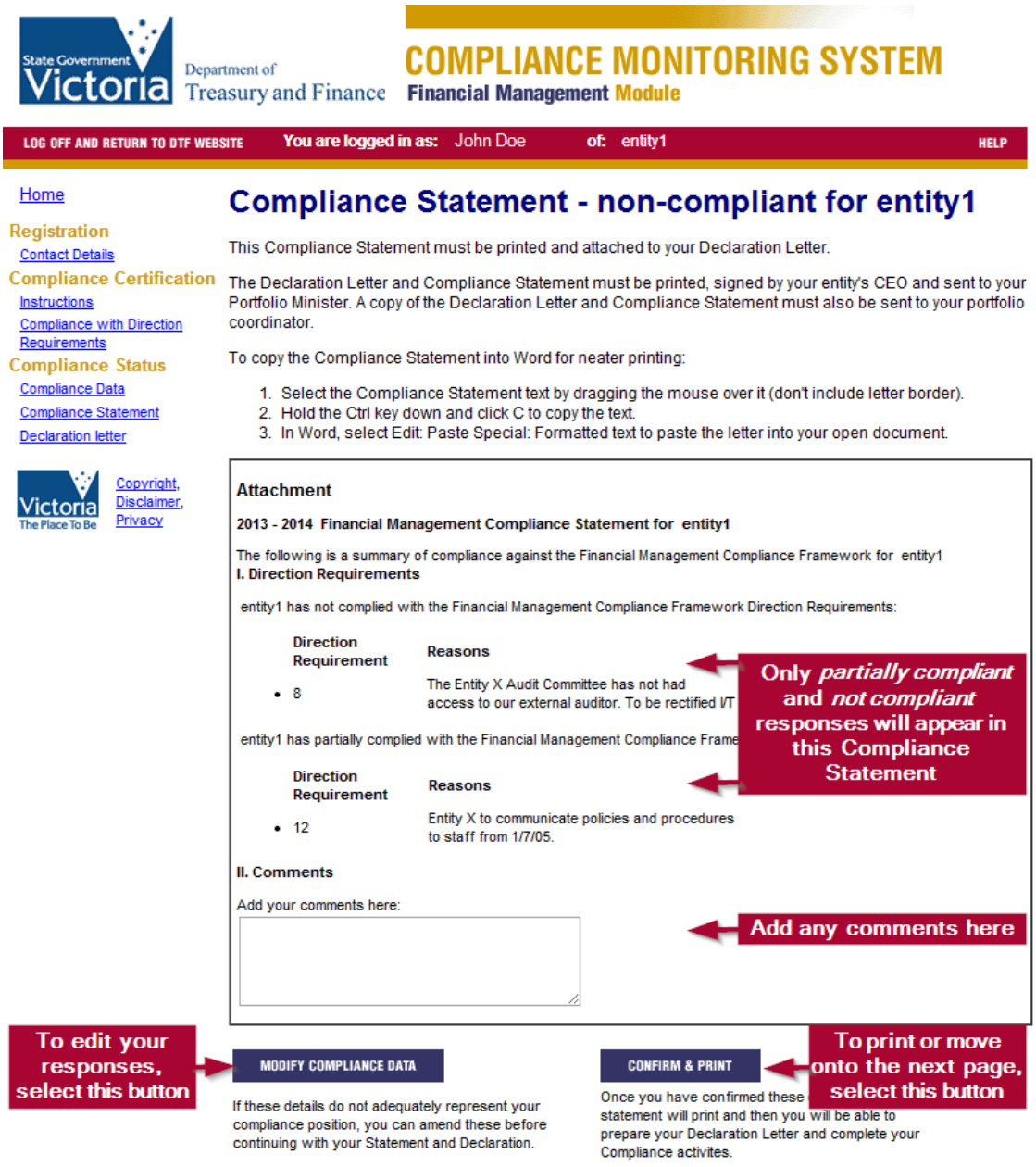
This next page contains the standard Compliance Statement including any partially compliant or not compliance responses.

The Compliance Statement must be printed off and attached to the signed Declaration Letter.

If required, additional comments can be added to the relevant text box.

If your entity has specific communication standards, it is suggested that this attachment is copied and pasted into Word. This will allow you to modify font style, text size, etc.

Once you are ready to move onto the next page, click **Confirm and print**.


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
Financial Management Module
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Home
Registration
Contact Details
Compliance Certification
Instructions
Compliance with Direction Requirements
Compliance Status
Compliance Data
Compliance Statement
Declaration letter
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Compliance Statement - non-compliant for entity1
This Compliance Statement must be printed and attached to your Declaration Letter.
The Declaration Letter and Compliance Statement must be printed, signed by your entity's CEO and sent to your Portfolio Minister. A copy of the Declaration Letter and Compliance Statement must also be sent to your portfolio coordinator.
To copy the Compliance Statement into Word for neater printing:
1. Select the Compliance Statement text by dragging the mouse over it (don't include letter border).
2. Hold the Ctrl key down and click C to copy the text.
3. In Word, select Edit: Paste Special: Formatted text to paste the letter into your open document.
Attachment
2013 - 2014 Financial Management Compliance Statement for entity1
The following is a summary of compliance against the Financial Management Compliance Framework for entity1
I. Direction Requirements
entity1 has not complied with the Financial Management Compliance Framework Direction Requirements:
Direction Requirement
Reasons
8
The Entity X Audit Committee has not had access to our external auditor. To be rectified I/T
entity1 has partially complied with the Financial Management Compliance Frame
Direction Requirement
Reasons
12
Entity X to communicate policies and procedures to staff from 1/7/05.
II. Comments
Add your comments here:
Only partially compliant and not compliant responses will appear in this Compliance Statement
Add any comments here
To edit your responses, select this button
MODIFY COMPLIANCE DATA
If these details do not adequately represent your compliance position, you can amend these before continuing with your Statement and Declaration.
CONFIRM & PRINT
Once you have confirmed these statement will print and then you will be able to prepare your Declaration Letter and complete your Compliance activites.
To print or move onto the next page, select this button

Declaration Letter

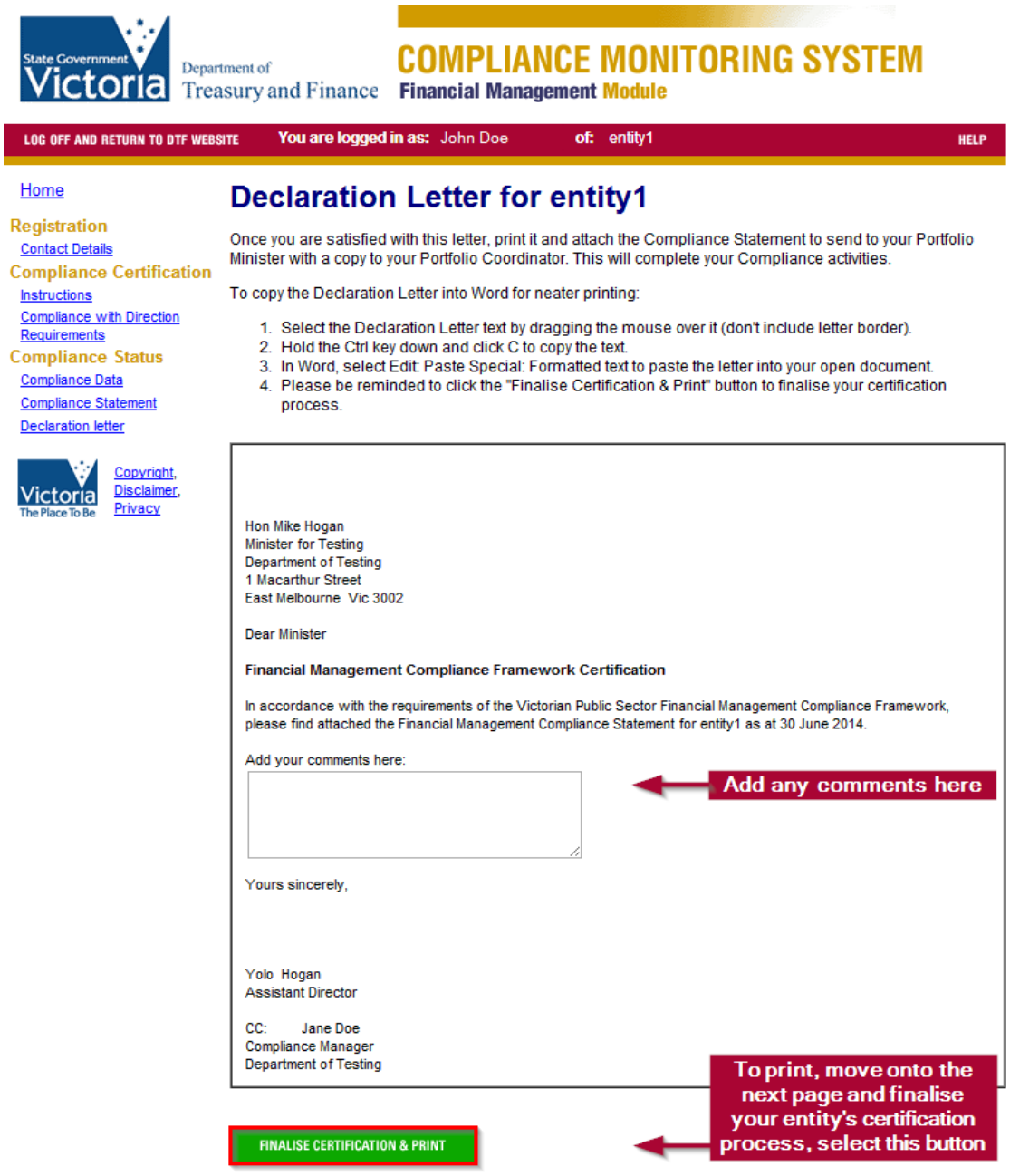
This next page contains the standard Declaration Letter.

The Declaration Letter must be printed off and signed by the Chief Executive Officer.

If required, any additional comments can be added to the relevant text box.

If your entity has specific communication standards, it is suggested that this letter is copied and pasted into Word. This will allow you to modify font style, text size, etc.

Once you are ready to move onto the next page, click **Finalise certification and print**.


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
Financial Management Module
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Home
Registration
Contact Details
Compliance Certification
Instructions
Compliance with Direction Requirements
Compliance Status
Compliance Data
Compliance Statement
Declaration letter
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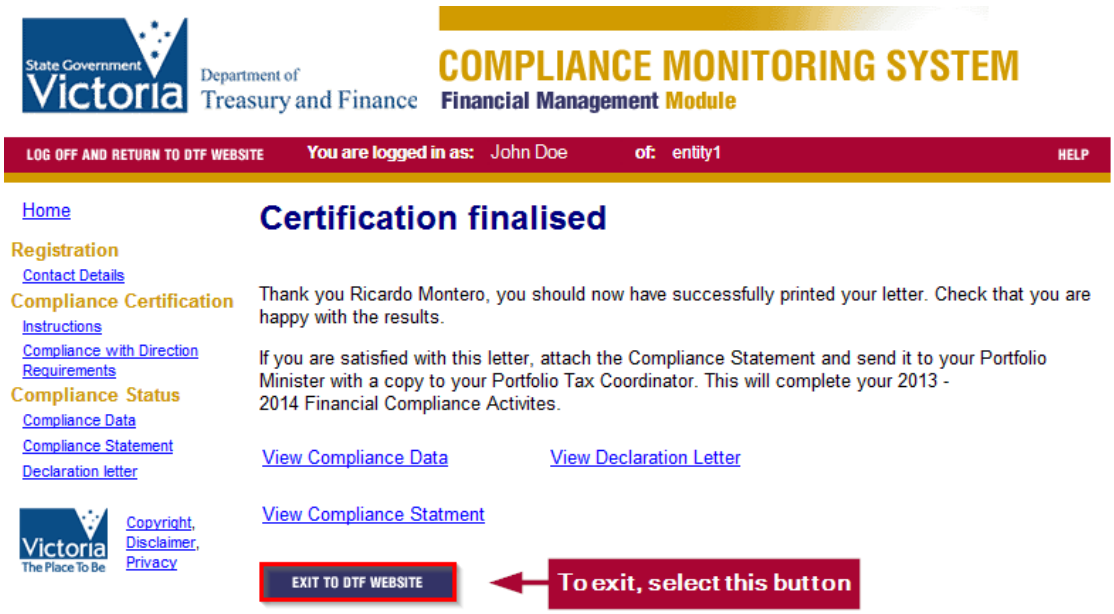
Declaration Letter for entity1
Once you are satisfied with this letter, print it and attach the Compliance Statement to send to your Portfolio Minister with a copy to your Portfolio Coordinator. This will complete your Compliance activities.
To copy the Declaration Letter into Word for neater printing:
1. Select the Declaration Letter text by dragging the mouse over it (don't include letter border).
2. Hold the Ctrl key down and click C to copy the text.
3. In Word, select Edit: Paste Special: Formatted text to paste the letter into your open document.
4. Please be reminded to click the "Finalise Certification & Print" button to finalise your certification process.
Hon Mike Hogan
Minister for Testing
Department of Testing
1 Macarthur Street
East Melbourne Vic 3002
Dear Minister
Financial Management Compliance Framework Certification
In accordance with the requirements of the Victorian Public Sector Financial Management Compliance Framework, please find attached the Financial Management Compliance Statement for entity1 as at 30 June 2014.
Add your comments here:
Add any comments here
Yours sincerely,
Yolo Hogan
Assistant Director
CC: Jane Doe
Compliance Manager
Department of Testing
To print, move onto the next page and finalise your entity's certification process, select this button
FINALISE CERTIFICATION & PRINT

Finalise the certification process

This final page informs you that you have completed your Financial Management Compliance Framework certification process.

If at any point in time you wish to change any of your responses on the Compliance Monitoring System website you may do so at any time up to 30 September 2015. If you experience any difficulties in meeting this timeframe or a timeframe set by your portfolio department, please contact your portfolio coordinator (please see Appendix 1 for full listing).

Once you have completed your compliance activities on the Compliance Monitoring System website, select **Exit to DTF website**.


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
Financial Management Module
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Home
Registration
Contact Details
Compliance Certification
Instructions
Compliance with Direction Requirements
Compliance Status
Compliance Data
Compliance Statement
Declaration letter
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Certification finalised
Thank you Ricardo Montero, you should now have successfully printed your letter. Check that you are happy with the results.
If you are satisfied with this letter, attach the Compliance Statement and send it to your Portfolio Minister with a copy to your Portfolio Tax Coordinator. This will complete your 2013 - 2014 Financial Compliance Activites.
View Compliance Data
View Declaration Letter
View Compliance Statment
EXIT TO DTF WEBSITE
To exit, select this button

Remember, you must print off your declaration letter and compliance summary. These must be signed by your Chief Executive Officer and forwarded to your Portfolio Minister, with a copy to your Portfolio department/coordinator.

Appendix 1

Portfolio Coordinators

For assistance or further information in completing your annual Financial Management Compliance Framework certification, please contact your portfolio coordinator:

FMCF portfolio coordinators		
Name	**Department**	**Telephone**
Nic Burkhardt	Court Services Victoria	903 20741
Eddie Fitzclarence	Economic Development, Jobs, Transport and Resources	9651 7660
Stephen Reginato	Economic Development, Jobs, Transport and Resources	9651 9212
Irena Kielczynski	Education and Training	9637 3281
Allison Wilson	Environment, Land, Water and Planning	9637 8464
Maral Madani	Environment, Land, Water and Planning	9637 8484
Aubrey Mair	Health and Human Services	9096 6144
Phyllis Kailis	Justice	8684 7314
Mini Balasingham	Premier and Cabinet	9651 2331
Mini Balasingham	Treasury and Finance	9651 2331
Mini Balasingham	Parliament/VAGO	9651 2331

Appendix 2

Department of Treasury and Finance website

Further information on the Financial Management Compliance Framework can be found on the Department of Treasury and Finance website: http://www.dtf.vic.gov.au/financialcompliance.

On this site you can find an up-to-date version of the Standing Directions of the Minister for Finance, the FMCF certification checklist, the FMCF user guide, and the Data Integrity Manual.

Appendix 3

Managing your username and password

Your password is an important aspect of the security of the Compliance Monitoring System website. Don't tell anyone your password. If you feel someone else may have discovered your password, change your password as soon as possible.

To change your username and password, you need to login using your current username and password. Once you have logged in, make your way to the Confirm Registration Details page.

State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Confirm Registration Details
Please confirm all these details are correct. If there are any errors, click the link to modify the particular contact details you wish to change. Note you will not be able to continue until all details are complete.
Entity
Details in this shaded area cannot be edited. Please contact System Administrator if these details are incorrect.
Entity name: John Doe
Portfolio name: Testing Portfolio
Responsible Minister: Mike Hogan
Department name: Department of Testing
Group: Ungrouped
Type: General Government
Address line 1: 1 Treasury Place
Address line 2: East Melbourne
Address line 3: Vic
Postcode: 3002
Modify Entity Details
Entity Financial Management Representative
Modify Entity Representative Details
First Name: Sandy
Surname: Sanderson
Position: Manager, Widgetology
Organisation: Entity 1
Email address: sandy.sanderson@entity1.vic.gov.au
Phone number: 9999 1111
Fax number: 9999 1000
Entity CEO (or equivalent) details
Modify CEO Details
Title: Mr
First Name: Peter
Surname: Peterson
Position Title: Assistant Director
Email address: peter.peterson@entity1.vic.gov.au
Phone number: 9651 2043
Fax number: 9651 1231
Entity CFO (or equivalent) details
Modify CFO Details
Title: Ms
First Name: Jo
Surname: Johnson
Position Title: Assistant Director
Email address: jo.johnson@dtf.vic.gov.au
Phone number: 9651 2043
Fax number: 9651 1231
CONFIRM
Victoria The Place To Be
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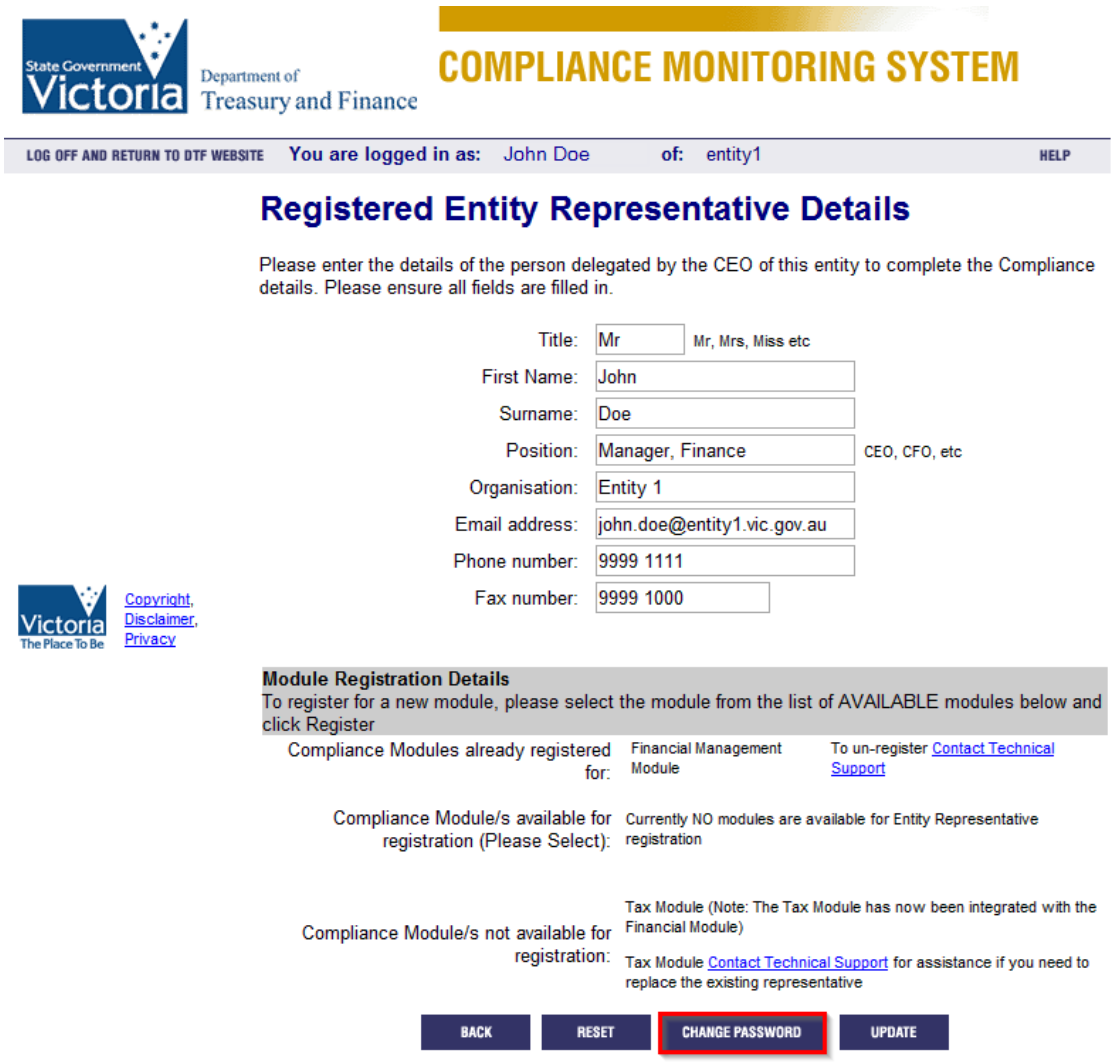
Click **Modify Entity Representative Details**.

The following page will appear. To amend your username and password, click **Change Password**.


State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Registered Entity Representative Details
Please enter the details of the person delegated by the CEO of this entity to complete the Compliance details. Please ensure all fields are filled in.
Title: Mr
Mr, Mrs, Miss etc
First Name: John
Surname: Doe
Position: Manager, Finance
CEO, CFO, etc
Organisation: Entity 1
Email address: john.doe@entity1.vic.gov.au
Phone number: 9999 1111
Fax number: 9999 1000
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Module Registration Details
To register for a new module, please select the module from the list of AVAILABLE modules below and click Register
Compliance Modules already registered for:
Financial Management Module
To un-register Contact Technical Support
Compliance Module/s available for registration (Please Select):
Currently NO modules are available for Entity Representative registration
Compliance Module/s not available for registration:
Tax Module (Note: The Tax Module has now been integrated with the Financial Module)
Tax Module Contact Technical Support for assistance if you need to replace the existing representative
BACK
RESET
CHANGE PASSWORD
UPDATE

The following Change Password page will now appear. Enter in your new username and/or password in the relevant text boxes. Once complete, click **Update**.

State Government Victoria
Department of Treasury and Finance
COMPLIANCE MONITORING SYSTEM
LOG OFF AND RETURN TO DTF WEBSITE
You are logged in as: John Doe
of: entity1
HELP
Change Password
To change your password, enter your existing password then your new password twice to confirm. Complete the change by clicking Update.
Contact Details
Title: Mr
First Name: John
Surname: Doe
Position: Manager, Finance
Organisation: Entity 1
Email address: john.doe@entity1.vic.gov.au
Phone number: 9999 1111
Fax number: 9999 1000
Module Registration Details
Compliance Modules already registered for: Financial Management Module
Preferred Username & Password
Enter your new username and/or password in these text boxes
Preferred user name: [username]
Preferred password: •••••••
Re-enter password: •••••••
Note: choose a password at least 6 characters long, but no longer than 10 characters.
This username and password will give access to all the modules you have access to.
Cancel will return you to your registration details without changing your password.
CANCEL
UPDATE
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State Government Victoria

Department of Treasury & Finance